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PATENT

Our Docket: P-NS 4970

TECH CENTER 1600/2900

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:)
Palczewski et al.)
Serial No.: 09/990,185)
Filed: November 21, 2001)
For: EXPRESSION OF POLYPEPTIDES)
IN ROD OUTER SEGMENT)
MEMBRANES)

Examiner: L. Chen
Group Art Unit: 1632

I hereby certify that this correspondence is
being deposited with the United States
Postal Service as first class mail in an
envelope addressed to: Box Petition, Commissioner for
Patents, Washington, D.C., 20231, on February 14, 2003.

By Melody E. Clark
Melody E. Clark, Reg. No. 51,566

Box Petition
COMMISSIONER FOR PATENTS
Washington, D.C., 20231

February 14, 2003
Date of Signature

PETITION UNDER 37 C.F.R. § 1.181 (a) REQUESTING
WITHDRAWAL OF HOLDING OF ABANDONMENT

Applicants petition under 37 C.F.R. § 1.181(a) that the
holding of abandonment in the above-identified application be
withdrawn. This petition is timely filed in accordance with
37 C.F.R. § 1.181(f).

Although a Notice of Abandonment has not yet been
received, the above-identified application will be
inappropriately abandoned as of December 20, 2002, for failure to
respond to the Restriction Requirement mailed June 20, 2002.
However, the application should not be processed as an abandoned
application because Applicants did not receive the Restriction
Requirement until January 8, 2003, due to an incorrect address on
the Requirement. A search of the file jacket, mail log, and
docket records for the above-identified application indicates
that we did not receive the Restriction Requirement. For
example, the last log entry on the docket record shows that

Inventors: Palczewski et al.
Serial No.: 09/990,185
Filed: November 21, 2001
Page 2

Applicants recorded an Assignment on April 26, 2002, and that no petition to convert the application was filed although a PCT application was filed. A copy of the docket record for the above-identified application is attached herewith as Exhibit A. In support of non-abandonment, Applicants also submit herewith a copy of the Restriction Requirement that was received from the Examiner by facsimile on January 8, 2003 (Exhibit B), which clearly shows that the Restriction Requirement was mailed to the wrong address.

The attorney and law firm listed on the Restriction Requirement have never been associated with this application. All previous communications from the Patent and Trademark Office regarding this application have been sent to the correct address in San Diego, California. As corroboration, Applicants submit herewith a copy of the Filing Receipt (Exhibit C), Notice to File Missing Parts (Exhibit D) and Recordation of Assignment Document (Exhibit E) for this application, all sent to the correct address. Since Applicants did not receive the Restriction Requirement until after the final due date of December 20, 2002, the application should not be processed as an abandoned application.

In order to expedite processing of this application, Applicants have filed a Response to the Restriction Requirement concurrent with this Petition. A copy of the Response, filed today with the Commissioner for Patents, is attached herewith as Exhibit F.

Inventors: Palczewski et al.
Serial No.: 09/990,185
Filed: November 21, 2001
Page 3

No fee is deemed necessary in connection with the filing of this petition. However, if any fee is required, authorization is hereby given to charge the amount of any such fee to Deposit Account No. 03-0370.

Respectfully submitted,

February 14, 2003
Date

Melody E. Clark
Melody E. Clark
Registration No. 51,566
Telephone No. (858) 535-9001
Facsimile No. (858) 535-8949

CAMPBELL & FLORES LLP
4370 La Jolla Village Drive
7th Floor
San Diego, California 92122
USPTO CUSTOMER NO. 23601



Kutakin

TECH CENTER 1600/2900

TRANSMITTAL LETTER		DOCKET NUMBER: P-NS 4970	
SERIAL NO: 09/990,185	FILING DATE: November 21, 2001	EXAMINER: L. Chen	GROUP ART UNIT: 1632
INVENTION: EXPRESSION OF POLYPEPTIDES IN ROD OUTER SEGMENT MEMBRANES			

TO COMMISSIONER FOR PATENTS

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Angell Jan
12006*

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Box Petition, Commissioner for Patents, Washington, D.C., 20231 on February 14, 2003.

By: *Melody E. Clark*
Melody E. Clark, Reg. No. 51,566

February 14, 2003
Date of Signature

Transmitted herewith are the following documents in connection with the above-identified application:

1. Petition Under 37 C.F.R. §1.181(a) Requesting Withdrawal of Holding of Abandonment with Exhibits A, B, C, D, E and F;
2. Return postcard

 Please charge my Deposit Account No. 03-0370 the amount of \$. A duplicate copy of this sheet is enclosed.

 X The Commissioner is hereby authorized to charge payment of any fees associated with this communication or credit any overpayment to Deposit Account No. 03-0370. A duplicate copy of this sheet is enclosed.

 X The Commissioner is hereby authorized to charge to Deposit Account No. 03-0370 any fees under 37 CFR 1.17 which may be required under 37 CFR 1.136(a) (3) for an extension of time in any concurrent or future reply requiring a petition for extension of time. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

Melody E. Clark
Melody E. Clark
Registration No. 51,566
CAMPBELL & FLORES LLP
4370 La Jolla Village Drive
7th Floor
San Diego, California 92122
858-535-9001
USPTO. CUSTOMER NO. 23601

Client: Novasite Pharmaceuticals, Inc.

Family Name: Retinal Expression of GPCRs

No	Title	Inventor(s)	Serial No	Filing Date	Country	Relationship	New Status	Status	Patent No	Issue Date
4970	EXPRESSION OF POLYPEPTIDES IN ROD OUTER SEGMENT MEMBRANES	Palczewski, Krzysztof Li, Ning Ballesteros, Juan	09/990,185	11/21/2001	United States	NEW of	Pending	Pending; IDS due 2/21/02; Foreign filing deadline/Deadline to petition to convert to prov./File non-prov. App. 11/21/02; Publication? 5/21/03; Missing Parts/Sequences due 2/10/02 (LD=7/10/02); Missing Parts/Sequences filed 2/11/02; IDS filed 3/8/02; Recorded assignment rec'd 4/26/02; No petition to convert filed; Foreign tiled w/PCT as FP-NS 5496;		



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
Address: COMMISSIONER OF PATENTS AND TRADEMARKS
Washington, D.C. 20531
www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/990,185	11/21/2001	Krzysztof Pulczewski	P-NS 4970	1224

7590

06/20/2002

Ginger Dreger, Esq.
Knobbe, Martens, Olson & Bear
Suite 1150
201 California Street
San Francisco, CA 94111

ORIGINAL

EXAMINER
CHEN, LIPING

ART UNIT	PAPER NUMBER
1612	4

DATE MAILED: 06/20/2002

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary

Application No.

09/990,185

Applicant(s)

PALCZEWSKI ET AL.

Examiner

Liping Chen

Art Unit

1632

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 1 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☐ Responsive to communication(s) filed on _____.
- 2a) ☐ This action is FINAL. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-38 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☐ Claim(s) _____ is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☒ Claim(s) 1-38 are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on _____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- 11) ☐ The proposed drawing correction filed on _____ is: a) ☐ approved b) ☐ disapproved by the Examiner.
If approved, corrected drawings are required in reply to this Office action.
- 12) ☐ The oath or declaration is objected to by the Examiner.

Priority under 35 U.S.C. §§ 119 and 120

- 13) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. _____.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
* See the attached detailed Office action for a list of the certified copies not received.
- 14) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application).
a) ☐ The translation of the foreign language provisional application has been received.
- 15) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121.

Attachment(s)

- 1) ☐ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-949)
- 3) ☐ Information Disclosure Statement(s) (PTO-1449) Paper No(s) _____
- 4) ☐ Interview Summary (PTO-413) Paper No(s). _____
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other: _____

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Election/Restriction

Restriction to one of the following inventions is required under 35 U.S.C. 121:

- I. Claims 1-27, 30 and 36, drawn to a gene targeting construct comprising a rod outer segment (ROS) targeting signal, a vector or a cell or a gene disrupted mouse comprising the construct, classified in class 435, subclass 320.1, or class 800, subclass 13.
- II. Claims 28 and 37, drawn to a cell extract, classified in 435, subclass 325.
- III. Claims 29 and 38, drawn to a substantially purified transgenic polypeptide, classified in 530, subclass 350⁺.

The inventions are distinct, each from the other because:

Invention I and invention II are two mutually exclusive and independent products. The cells of invention I can be used to make transgenic mouse. The extract of invention II can be used to isolate membrane.

Invention I and invention III are two mutually exclusive and independent products. The cells of invention I can be used to make transgenic mouse. The protein of invention III can be used to make antibody.

Invention II and invention III are two mutually exclusive and independent products. The extract of invention II can be used to isolate membrane. The protein of invention III can be used to make antibody.

Because these inventions are distinct for the reasons given above and have acquired a separate status in the art as shown by their different classification, because of their recognized divergent subject matter, and the search required for any group is not required for remaining groups, restriction for examination purposes as indicated is proper.

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Application/Control Number: 09/990,185
Art Unit: 1632

Applicant is advised that the reply to this requirement to be complete must include an election of the invention to be examined even though the requirement be traversed (37 CFR 1.143).

Applicant is reminded that upon the cancellation of claims to a non-elected invention, the inventorship must be amended in compliance with 37 CFR 1.48(h) if one or more of the currently named inventors is no longer an inventor of at least one claim remaining in the application. Any amendment of inventorship must be accompanied by a request under 37 CFR 1.48(b) and by the fee required under 37 CFR 1.17(l).

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Liping Chen, whose telephone number is (703) 305-4842. The examiner can normally be reached on Monday through Friday from 8:00 to 5:00 (Eastern Standard Time). Should the examiner be unavailable, inquiries should be directed to Deborah Reynolds, Supervisory Primary Examiner of Art Unit 1632, at (703) 305-4051. Any administrative or procedural questions should be directed to Patsy Zimmerman, Patent Analyst, at (703) 305-2758. Papers related to this application may be submitted to Group 1600 by facsimile transmission. Papers should be faxed to Group 1600 via the PTO Fax Center located in Crystal Mall 1. The faxing of such papers must conform with the notice published in the Official Gazette, 1096 OG 30 (November 15, 1989). The CM1 Fax Center number is (703) 308-8724.

The Group and/or Art Unit location of your application in the PTO has changed. To aid in correlating any papers for this application, all further correspondence regarding this application should be directed to Group Art Unit 1632.

Liping Chen, Ph.D.
Patent Examiner
Group 1632
June 14, 2002

Deborah Crouch
DEBORAH CROUCH
PRIMARY EXAMINER
GROUP 1600/1630

(Click here and type address)

facsimile transmittal

To: Rebecca McElroy Fax: 858-535-8949
From: Ms. Jacobs Date: 1/8/03
Re: Restriction Pages: 5
CC: Rebecca McElroy

☒ Urgent ☐ For Review ☐ Please Comment ☐ Please Reply ☐ Please Recycle

Ms. Jacobs 703-305-3388

Notes: Select this text and delete it or replace it with your own. To save changes to this template for future use, choose Save As from the File menu. In the Save As Type box, choose Document Template. Next time you want to use it, choose New from the File menu, and then double-click your template.

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COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO.	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/990,185	11/21/2001	1645	0.00	P-NS 4970	2	38	3

CONFIRMATION NO. 1224

23601
CAMPBELL & FLORES LLP
4370 LA JOLLA VILLAGE DRIVE
7TH FLOOR
SAN DIEGO, CA 92122

FILING RECEIPT



OC000000007176034

Date Mailed: 12/10/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Krzysztof Palczewski, Residence Not Provided;
Ning Li, Residence Not Provided;
Juan Ballesteros, Residence Not Provided;

Domestic Priority data as claimed by applicant

Foreign Applications

If Required, Foreign Filing License Granted 12/04/2001

Projected Publication Date: To Be Determined - pending completion of Missing Parts

Non-Publication Request: No

Early Publication Request: No

Title

Expression of polypeptides in rod outer segment membranes

Preliminary Class

435

EXHIBIT C

**LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15**

GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).



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UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/990,185	11/21/2001	Krzysztof Palczewski	P-NS 4970

23601
CAMPBELL & FLORES LLP
4370 LA JOLLA VILLAGE DRIVE
7TH FLOOR
SAN DIEGO, CA 92122

DOCKETED

*Resp. due
2-10-02*

CONFIRMATION NO. 1224

FORMALITIES LETTER



OC000000007176035

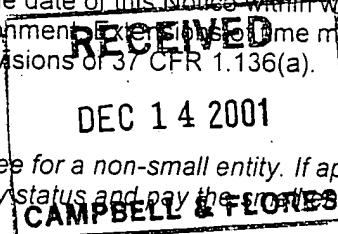
Date Mailed: 12/10/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).



- The statutory basic filing fee is missing.
Applicant must submit \$ 740 to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).
- Total additional claim fee(s) for this application is \$324.
 - \$324 for 18 total claims over 20.
- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 1194.**
- This application clearly fails to comply with the requirements of 37 C.F.R. 1.821-1.825. Applicant's attention is directed to the final rulemaking notice published at 55 FR 18230 (May 1, 1990), and 1114 OG 29 (May 15, 1990). If the effective filing date is on or after July 1, 1998, see the final rulemaking notice published at 63 FR 29620 (June 1, 1998) and 1211 OG 82 (June 23, 1998). If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000). Applicant must provide an initial computer readable form (CRF) copy of the "Sequence Listing", an initial paper or compact disc copy of the "Sequence Listing", as well as an amendment directing its entry into the application. Applicant must also provide a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If applicant desires the sequence listing in the instant application to be identical with that of another application on file in the U.S. Patent and Trademark Office, such request in accordance with 37 CFR 1.821(e) may be submitted in lieu of a new CRF.

EXHIBIT D

For questions regarding compliance to these requirements, please contact:

- For Rules Interpretation, call (703) 308-4216
- To Purchase PatentIn Software, call (703) 306-2600
- For PatentIn Software Program Help, call (703) 306-4119 or e-mail at patin21help@uspto.gov or patin3help@uspto.gov

A copy of this notice MUST be returned with the reply.



Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



UNITED STATES
PATENT AND
TRADEMARK OFFICE

mkw
JHLLA

APRIL 19, 2002

PTAS

Chief Financial Officer and Chief Administrative Officer
Washington, DC 20231
www.uspto.gov

CAMPBELL & FLORES LLP
CATHRYN CAMPBELL
4370 LA JOLLA VILLAGE DRIVE
7TH FLOOR
SAN DIEGO, CA 92122



101994618A

UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 02/11/2002

REEL/FRAME: 012601/0263
NUMBER OF PAGES: 6

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

PALCZEWSKI, KRZYSZTOF

DOC DATE: 12/21/2001

ASSIGNOR:

LI, NING

DOC DATE: 01/07/2002

ASSIGNOR:

BALLESTEROS, JUAN

DOC DATE: 01/07/2002

ASSIGNEE:

NOVASITE PHARMACEUTICALS, INC.
3520 DUNHILL STREET
SAN DIEGO, CALIFORNIA 92121

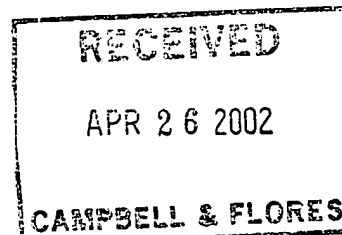
SERIAL NUMBER: 09990185

FILING DATE: 11/21/2001

PATENT NUMBER:

ISSUE DATE:

EXHIBIT E



012601/0263 PAGE 2

JEEVON JONES, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS



02-27-2002

Patent No.: P-NS 4970

U.S. DEPARTMENT OF COMMERCE
Patent and Trademark Office

Tab settings → → →



To the Honorable Commissioner of Patent

101994618

Attached original documents or copy thereof.

1. Name of conveying party(ies):

1. Krzysztof Palczewski
2. Ning Li
3. Juan Ballesteros

2-11-02

Additional names(s) of conveying party(ies)

☐ Yes ☒ No

3. Nature of conveyance:

- ☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Other

Execution Date: 1. on 12/21/01; 2. and 3. on 01/07/02

2. Name and address of receiving party(ies):

Name: Novasite Pharmaceuticals, Inc.

Internal Address: _____

Street Address: 3520 Dunhill Street

City: San Diego State: CA ZIP: 92121

Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application number(s) or patent numbers(s):

If this document is being filed together with a new application, the execution date of the application is: _____

A. Patent Application No.(s)

09/990,185

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Cathryn Campbell

Internal Address: CAMPBELL & FLORES LLP

Street Address: 4370 La Jolla Village Drive, 7th Floor

City: San Diego State: CA ZIP: 92122

6. Total number of applications and patents involved:

1

7. Total fee (37 CFR 3.41):\$ 40.00

☒ Enclosed - Any excess or insufficiency should be credited or debited to deposit account

☐ Authorized to be charged to deposit account

8. Deposit account number:

03-0370

(Attach duplicate copy of this page if paying by deposit account)

DO NOT USE THIS SPACE

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Melanie K. Webster, Reg. No. 45,201

Name of Person Signing

Signature

February 11, 2002

Date

Total number of pages including cover sheet, attachments, and document:

6

JOINT

ASSIGNMENT

This Assignment is made by Krzysztof Palczewski of Bellevue, Washington, Ning Li of San Diego, California, and Juan Ballesteros of Encinitas, California, Assignors, to Novasite Pharmaceuticals, Inc., Assignee, having a place of business at 3520 Dunhill Street, San Diego, California 92121.

WHEREAS, Assignors have invented a new and useful EXPRESSION OF POLYPEPTIDES IN ROD OUTER SEGMENT MEMBRANES for which an application for United States Letters Patent was filed on November 21, 2001, in the United States Patent and Trademark Office, bearing Serial No. 09/990,185 and identified as Attorney Docket No: P-NS 4970;

WHEREAS, Assignors believe themselves to be the original inventors of the invention disclosed and claimed in said application for Letters Patent; and

WHEREAS, the parties desire to have a recordable instrument assigning the entire right, title and interest in and to said invention, said application and any Letters Patent that may be granted for said invention in the United States and throughout the world;

NOW, THEREFORE, in accordance with the obligations to assign the invention and other good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, Assignors sell, assign, and transfer to Assignee, the entire right, title, and interest in and to said invention, said application, any applications entitled to benefit of priority to

Inventors: Palczewski et al.
Serial No.: 09/990,185
Filed: November 21, 2001
Page 2

said application under Title 35, United States Code, Sections 120, 121 or 251, which include divisionals, continuations and reissues, and any Letters Patent that may be granted on said invention or these applications in the United States and throughout the world, including the right to file foreign applications directly in the name of the Assignee and to claim for any such foreign applications any priority rights to which such applications are entitled under international conventions, treaties, or otherwise.

Assignors agree that, upon request and without further compensation, but at no expense to Assignors, they and their legal representatives and assigns will do all lawful acts, including the execution of papers and the giving of testimony, that may be necessary or desirable for obtaining, sustaining, reissuing, or enforcing Letters Patent in the United States and throughout the world for said invention, and for perfecting, recording, or maintaining the title of Assignee, its successors and assigns, to said invention, said application, and any Letters Patent granted for said invention in the United States and throughout the world.

Assignors represent and warrant that they have not granted and will not grant to others any rights inconsistent with the rights granted herein.

Assignors authorize and request that any United States or foreign Letters Patent granted for said invention, whether on said application or on any subsequently filed divisional,

Inventors: Palczewski et al.
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Page 3

continuation or reissue application, be issued to Assignee, its successors and assigns, as the assignee of the entire interest in said invention.

IN WITNESS WHEREOF, Assignors have executed this Assignment on the date(s) provided below.

Assignor: Krzysztof Palczewski

K. Palczewski Dec 21 / 2001
Signature Date

STATE OF Washington)
COUNTY OF King)

On 12/21/01, before me, _____,
personally appeared Krzysztof Palczewski,
_____ personally known to me - OR - _____ proved to me on the basis
of satisfactory evidence to be the person(s) whose name(s) is/are
subscribed to the within instrument and acknowledged to me that
he/~~she~~/~~they~~ executed the same in his/~~her~~/~~their~~ authorized
capacity(ies), and that by his/~~her~~/~~their~~ signature(s) on the
instrument the person(s), or the entity upon behalf of which the
person(s) acted, executed the instrument.

WITNESS by hand and official seal.

Meiying Wang
(Signature of Notary)

commission expires: May 29, 2003

Inventors: Palczewski et al.
Serial No.: 09/990,185
Filed: November 21, 2001
Page 4

Assignor: Ning Li

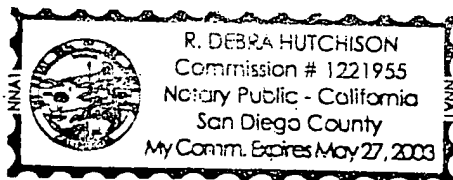
[Signature] Jan. 7, 2002
Signature Date

STATE OF California)
COUNTY OF San Diego)

On January 7, 2002, before me, R. Debra Hutchison,
personally appeared Ning Li,
☒ personally known to me - OR - proved to me on the basis
of satisfactory evidence to be the person~~(s)~~ whose name~~(s)~~ is/~~are~~
subscribed to the within instrument; and acknowledged to me that
he/~~she~~/they executed the same in his/~~her~~/their authorized
capacity~~(ies)~~, and that by his/~~her~~/their signature~~(s)~~ on the
instrument the person~~(s)~~, or the entity upon behalf of which the
person~~(s)~~ acted, executed the instrument.

WITNESS by hand and official seal.

R. Debra Hutchison
(Signature of Notary)



Inventors: Palczewski et al.
Serial No.: 09/990,185
Filed: November 21, 2001
Page 5

Assignor: Juan Ballesteros

Signature

Date

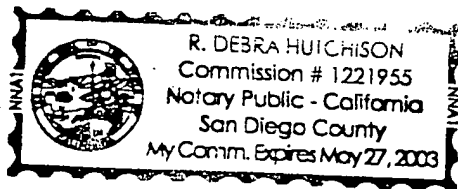
JAN 7, 2002

STATE OF California)
COUNTY OF San Diego)

On January 7, 2002, before me, R. Debra Hutchison
personally appeared Juan Ballesteros,
☒ personally known to me - OR - ☐ proved to me on the basis
of satisfactory evidence to be the person ~~(s)~~ whose name ~~(s)~~ is/~~are~~
subscribed to the within instrument and acknowledged to me that
he/~~she~~/~~they~~ executed the same in his/~~her~~/~~their~~ authorized
capacity~~(ies)~~, and that by his/~~her~~/~~their~~ signature ~~(s)~~ on the
instrument the person ~~(s)~~, or the entity upon behalf of which the
person ~~(s)~~ acted, executed the instrument.

WITNESS by hand and official seal.

R. Debra Hutchison
(Signature of Notary)



COPY

PATENT

Our Docket: P-NS 4970

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of)
Palczewski et al.)
Serial No: 09/990,185)
Filed: November 21, 2001)
For: EXPRESSION OF POLYPEPTIDES)
IN ROD OUTER SEGMENT)
MEMBRANES)

Conf. No.: 1224

Group Art Unit: 1632

Examiner: L. Chen

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C., 20231 on February 14, 2003.

Commissioner for Patents
Washington, D.C. 20231

By: Melody E. Clark
Melody E. Clark, Reg. No. 51,566

February 14, 2003
Date of Signature

RESPONSE TO RESTRICTION REQUIREMENT

Responsive to the Restriction Requirement mailed June 20, 2002, consideration of the following Remarks is respectfully requested. A response to the Restriction Requirement was originally due December 20, 2002. However, Applicants did not receive the Restriction Requirement until January 8, 2003, because the original Restriction Requirement had been sent to the wrong address. Applicants are concurrently submitting a Petition under 37 C.F.R. 1.181(a) Requesting Withdrawal of Holding of Abandonment, attached herewith as Exhibit A. Accordingly, this Response is being timely filed.

REMARKS

Claims 1-38 are pending. The Examiner alleges that the claims are directed to three distinct and independent inventions as follows:

EXHIBIT F

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Page 2

Group I: Claims 1 through 27, 30 and 36, directed to a gene targeting construct comprising a rod outer segment (ROS) targeting signal, a vector or a cell or a gene disrupted mouse comprising the construct;

Group II: Claims 28 and 37, directed to a cell extract; and

Group III: Claims 29 and 38, directed to a substantially purified transgenic polypeptide.

Applicants believe there is a typographical error in the Restriction Requirement regarding the claims listed in Group I. The Restriction Requirement currently states that Group I includes "claims 1-27, 30 and 36," however, we believe the Restriction Requirement intended to state that Group I includes "claims 1-27 and 30-36." Applicants believe the Examiner intended for Group I to include claims 30 through 36 because claims 31-35, which depend on claim 30, are parallel to claims 18-22 in Group I. In addition, in the current version of the Restriction Requirement, claims 31-35 are not assigned to any group. Applicants therefore interpret Group I as containing claims 1 through 27, and 30 through 36. If Applicant's interpretation of Group I is incorrect, then clarification by the Examiner and issuance of a revised Restriction Requirement is respectfully requested.

Inventors: Palczewski et al.
Serial No.: 09/990,185
Filed: November 21, 2001
Page 3

Applicants traverse the Restriction Requirement for the reasons stated below. Nevertheless, in order to be responsive to the Office Action, Applicants elect the claims of Group I, claims 1 through 27, and 30 through 36, directed to a gene targeting construct comprising a rod outer segment (ROS) targeting signal, a vector or a cell or a gene disrupted mouse comprising the construct. Applicants reserve the right to pursue prosecution of the non-elected claims in a later filed application claiming the benefit of priority of the above-identified application.

Applicants traverse the Restriction Requirement with respect to the division of the claims of Groups II and III from the claims of Groups I. Applicants submit that, while the claims of Groups II and III are patentably distinct from the claims of Group I, a thorough search of the elected claims of Group I will necessarily include a search of the claims of Groups II and III because the claims of Groups II and III depend on the claims of Group I. For example, a search of Group I claim 27 directed to a rod cell will necessarily include a search of Group II claim 28, directed to an extract of the cell of claim 27. In addition, a search of Group I claim 27 will necessarily include a search of Group III claim 29, directed to a substantially purified transgenic polypeptide isolated from the cell of claim 27, or from an extract thereof. Accordingly, Applicants submit that search and examination of Groups II and III with Group I does not pose a serious burden to the Examiner.

Moreover, the claims of Groups II and III, while patentably distinct from the claims of Groups I, are related such that the division of the claims into three separate groups will

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Page 4

result in a duplicative effort by the U.S. Patent and Trademark Office. Since joint examination of claims 1-38 will not result in a serious burden on the Examiner, rejoinder of Groups II and III with Group I, respectfully is requested.

CONCLUSION

Applicants appreciate the Examiner's reconsideration of the Restriction Requirement. The Examiner is invited to contact the undersigned agent or Cathryn Campbell if there are any questions regarding this application.

Respectfully submitted,

February 14, 2003
Date

Melody E. Clark
Melody E. Clark
Registration No. 51,566
Telephone No. (858) 535-9001
Facsimile No. (858) 535-8949

CAMPBELL & FLORES LLP
4370 La Jolla Village Drive
7th Floor
San Diego, California 92122
USPTO CUSTOMER NO. 23601

COPY

PATENT

Our Docket: P-NS 4970

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Palczewski et al.

Serial No.: 09/990,185

Filed: November 21, 2001

For: EXPRESSION OF POLYPEPTIDES)
IN ROD OUTER SEGMENT)
MEMBRANES)

Box Petition

COMMISSIONER FOR PATENTS

Washington, D.C., 20231

) Examiner: L. Chen

) Group Art Unit: 1632

) I hereby certify that this correspondence is
) being deposited with the United States
) Postal Service as first class mail in an
) envelope addressed to: Box Petition, Commissioner for
) Patents, Washington, D.C., 20231, on February 14, 2003.

) By

Melody E. Clark

Melody E. Clark, Reg. No. 51,566

February 14, 2003

Date of Signature

PETITION UNDER 37 C.F.R. § 1.181 (a) REQUESTING
WITHDRAWAL OF HOLDING OF ABANDONMENT

Applicants petition under 37 C.F.R. § 1.181(a) that the holding of abandonment in the above-identified application be withdrawn. This petition is timely filed in accordance with 37 C.F.R. § 1.181(f).

Although a Notice of Abandonment has not yet been received, the above-identified application will be inappropriately abandoned as of December 20, 2002, for failure to respond to the Restriction Requirement mailed June 20, 2002. However, the application should not be processed as an abandoned application because Applicants did not receive the Restriction Requirement until January 8, 2003, due to an incorrect address on the Requirement. A search of the file jacket, mail log, and docket records for the above-identified application indicates that we did not receive the Restriction Requirement. For example, the last log entry on the docket record shows that

EXHIBIT A

Inventors: Palczewski et al.
Serial No.: 09/990,185
Filed: November 21, 2001
Page 2

Applicants recorded an Assignment on April 26, 2002, and that no petition to convert the application was filed although a PCT application was filed. A copy of the docket record for the above-identified application is attached herewith as Exhibit A. In support of non-abandonment, Applicants also submit herewith a copy of the Restriction Requirement that was received from the Examiner by facsimile on January 8, 2003 (Exhibit B), which clearly shows that the Restriction Requirement was mailed to the wrong address.

The attorney and law firm listed on the Restriction Requirement have never been associated with this application. All previous communications from the Patent and Trademark Office regarding this application have been sent to the correct address in San Diego, California. As corroboration, Applicants submit herewith a copy of the Filing Receipt (Exhibit C), Notice to File Missing Parts (Exhibit D) and Recordation of Assignment Document (Exhibit E) for this application, all sent to the correct address. Since Applicants did not receive the Restriction Requirement until after the final due date of December 20, 2002, the application should not be processed as an abandoned application.

In order to expedite processing of this application, Applicants have filed a Response to the Restriction Requirement concurrent with this Petition. A copy of the Response, filed today with the Commissioner for Patents, is attached herewith as Exhibit F.

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Page 3

No fee is deemed necessary in connection with the filing of this petition. However, if any fee is required, authorization is hereby given to charge the amount of any such fee to Deposit Account No. 03-0370.

Respectfully submitted,

February 14, 2003
Date

Melody E. Clark
Melody E. Clark
Registration No. 51,566
Telephone No. (858) 535-9001
Facsimile No. (858) 535-8949

CAMPBELL & FLORES LLP
4370 La Jolla Village Drive
7th Floor
San Diego, California 92122
USPTO CUSTOMER NO. 23601

Client: Novasite Pharmaceuticals, Inc.

Family Name: Retinal Expression of GPCRs

40	Title	Inventor(s)	Serial No	Filing Date	Country	Relationship	Law Status	Status	Patent No	Issue Date
1570	EXPRESSION OF POLYPEPTIDES IN ROD OUTER SEGMENT MEMBRANES	Palczewski, Krzysztof Li, Ning Ballesteros, Juan	09/990,185	11/21/2001	United States	NEW of	Pending	Pending; IDS due 2/21/02; Foreign filing deadline/Deadline to petition to convert to prov./File non-prov. App. 11/21/02; Publication? 5/21/03; Missing Parts/Sequences due 2/10/02 (LD=7/10/02); Missing Parts/Sequences filed 2/11/02; IDS filed 3/8/02; Recorded assignment rec'd 4/26/02; No petition to convert filed; Foreign filed w/PCT as FP-NS 5496;		



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
Address: COMMISSIONER OF PATENTS AND TRADEMARKS
Washington, D.C. 20231
www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/990,185	11/21/2001	Krzysztof Pulczewski	P-NS 4970	1224

7590 06/20/2002
Ginger Dreger, Esq.
Knobbe, Martens, Olson & Bear
Suite 1150
201 California Street
San Francisco, CA 94111

ORIGINAL

EXAMINER	
CHEN, LIPING	
ART UNIT	PAPER NUMBER
1632	

DATE MAILED: 06/20/2002

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary

Application No.

09/990,185

Applicant(s)

PALCZEWSKI ET AL.

Examiner

Liping Chen

Art Unit

1632

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --
 Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 1 MONTH(S) FROM
 THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☐ Responsive to communication(s) filed on _____.
- 2a) ☐ This action is FINAL. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-38 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☐ Claim(s) _____ is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☒ Claim(s) 1-38 are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on _____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
 Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- 11) ☐ The proposed drawing correction filed on _____ is: a) ☐ approved b) ☐ disapproved by the Examiner.
 If approved, corrected drawings are required in reply to this Office action.
- 12) ☐ The oath or declaration is objected to by the Examiner.

Priority under 35 U.S.C. §§ 119 and 120

- 13) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
 a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
 2. ☐ Certified copies of the priority documents have been received in Application No. _____.
 3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- * See the attached detailed Office action for a list of the certified copies not received.
- 14) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application).
 a) ☐ The translation of the foreign language provisional application has been received.
- 15) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121.

Attachment(s)

- 1) ☐ Notice of References Cited (PTO-852)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-943)
- 3) ☐ Information Disclosure Statement(s) (PTO-1449) Paper No(s) _____
- 4) ☐ Interview Summary (PTO-413) Paper No(s) _____
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other:

Application/Control Number: 09/990,185

Art Unit: 1632

Page 2

Election/Restriction

Restriction to one of the following inventions is required under 35 U.S.C. 121:

- I. Claims 1-27, 30 and 36, drawn to a gene targeting construct comprising a rod outer segment (ROS) targeting signal, a vector or a cell or a gene disrupted mouse comprising the construct, classified in class 435, subclass 320.1, or class 800, subclass 13.
- II. Claims 28 and 37, drawn to a cell extract, classified in 435, subclass 325.
- III. Claims 29 and 38, drawn to a substantially purified transgenic polypeptide, classified in 530, subclass 350*.

The inventions are distinct, each from the other because:

Invention I and invention II are two mutually exclusive and independent products. The cells of invention I can be used to make transgenic mouse. The extract of invention II can be used to isolate membrane.

Invention I and Invention III are two mutually exclusive and independent products. The cells of invention I can be used to make transgenic mouse. The protein of invention III can be used to make antibody.

Invention II and invention III are two mutually exclusive and independent products. The extract of invention II can be used to isolate membrane. The protein of invention III can be used to make antibody.

Because these inventions are distinct for the reasons given above and have acquired a separate status in the art as shown by their different classification, because of their recognized divergent subject matter, and the search required for any group is not required for remaining groups, restriction for examination purposes as indicated is proper.

Page 3

Application/Control Number: 09/990,185
Art Unit: 1632

Applicant is advised that the reply to this requirement to be complete must include an election of the invention to be examined even though the requirement be traversed (37 CFR 1.143).

Applicant is reminded that upon the cancellation of claims to a non-elected invention, the inventorship must be amended in compliance with 37 CFR 1.48(h) if one or more of the currently named inventors is no longer an inventor of at least one claim remaining in the application. Any amendment of inventorship must be accompanied by a request under 37 CFR 1.48(b) and by the fee required under 37 CFR 1.17(l).

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Liping Chen, whose telephone number is (703) 305-4842. The examiner can normally be reached on Monday through Friday from 8:00 to 5:00 (Eastern Standard Time). Should the examiner be unavailable, inquiries should be directed to Deborah Reynolds, Supervisory Primary Examiner of Art Unit 1632, at (703) 305-4051. Any administrative or procedural questions should be directed to Patsy Zimmerman, Patent Analyst, at (703) 305-2758. Papers related to this application may be submitted to Group 1600 by facsimile transmission. Papers should be faxed to Group 1600 via the PTO Fax Center located in Crystal Mall 1. The faxing of such papers must conform with the notice published in the Official Gazette, 1096 OG 30 (November 15, 1989). The CM1 Fax Center number is (703) 308-8724.

The Group and/or Art Unit location of your application in the PTO has changed. To aid in correlating any papers for this application, all further correspondence regarding this application should be directed to Group Art Unit 1632.

Liping Chen, Ph.D.
Patent Examiner
Group 1632
June 14, 2002

Deborah Crouch
DEBORAH CROUCH
PRIMARY EXAMINER
GROUP 1600/630

[\[Click here and type address\]](#)

facsimile transmittal

To: Rebecca McElroy Fax: 858-535-8949
From: Ms. Jacobs Date: 1/8/03
Re: Restriction Pages: 5
CC: Rebecca McElroy

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Ms. Jacobs 703-305-3388

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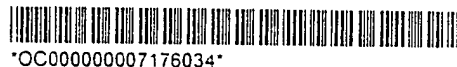
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APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/990,185	11/21/2001	1645	0.00	P-NS 4970	2	38	3

23601
CAMPBELL & FLORES LLP
4370 LA JOLLA VILLAGE DRIVE
7TH FLOOR
SAN DIEGO, CA 92122

CONFIRMATION NO. 1224

FILING RECEIPT



OC000000007176034

Date Mailed: 12/10/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Krzysztof Palczewski, Residence Not Provided;
Ning Li, Residence Not Provided;
Juan Ballesteros, Residence Not Provided;

Domestic Priority data as claimed by applicant

Foreign Applications

If Required, Foreign Filing License Granted 12/04/2001

Projected Publication Date: To Be Determined - pending completion of Missing Parts

Non-Publication Request: No

Early Publication Request: No

Title

Expression of polypeptides in rod outer segment membranes

Preliminary Class

435

LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15

GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/990,185	11/21/2001	Krzysztof Palczewski	P-NS 4970

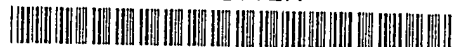
23601
CAMPBELL & FLORES LLP
4370 LA JOLLA VILLAGE DRIVE
7TH FLOOR
SAN DIEGO, CA 92122

DOCKETED

*Resp. due
2-10-02*

CONFIRMATION NO. 1224

FORMALITIES LETTER



OC000000007176035

Date Mailed: 12/10/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extension of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

RECEIVED

DEC 14 2001

CAMPBELL & FLORES

- The statutory basic filing fee is missing.
Applicant must submit \$ 740 to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).
- Total additional claim fee(s) for this application is \$324.
 - \$324 for 18 total claims over 20.
- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 1194.
- This application clearly fails to comply with the requirements of 37 C.F.R. 1.821-1.825. Applicant's attention is directed to the final rulemaking notice published at 55 FR 18230 (May 1, 1990), and 1114 OG 29 (May 15, 1990). If the effective filing date is on or after July 1, 1998, see the final rulemaking notice published at 63 FR 29620 (June 1, 1998) and 1211 OG 82 (June 23, 1998). If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000). Applicant must provide an initial computer readable form (CRF) copy of the "Sequence Listing", an initial paper or compact disc copy of the "Sequence Listing", as well as an amendment directing its entry into the application. Applicant must also provide a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If applicant desires the sequence listing in the instant application to be identical with that of another application on file in the U.S. Patent and Trademark Office, such request in accordance with 37 CFR 1.821(e) may be submitted in lieu of a new CRF.

EXHIBIT D

For questions regarding compliance to these requirements, please contact:

- For Rules Interpretation, call (703) 308-4216
- To Purchase PatentIn Software, call (703) 306-2600
- For PatentIn Software Program Help, call (703) 306-4119 or e-mail at patin21help@uspto.gov or patin3help@uspto.gov

A copy of this notice MUST be returned with the reply.



Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



UNITED STATES
PATENT AND
TRADEMARK OFFICE

mkw
Jh11A

APRIL 19, 2002

PTAS

Chief Financial Officer and Chief Administrative Officer
Washington, DC 20231
www.uspto.gov

CAMPBELL & FLORES LLP
CATHRYN CAMPBELL
4370 LA JOLLA VILLAGE DRIVE
7TH FLOOR
SAN DIEGO, CA 92122



101994618A

UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 02/11/2002

REEL/FRAME: 012601/0263
NUMBER OF PAGES: 6

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

PALCZEWSKI, KRZYSZTOF

DOC DATE: 12/21/2001

ASSIGNOR:

LI, NING

DOC DATE: 01/07/2002

ASSIGNOR:

BALLESTEROS, JUAN

DOC DATE: 01/07/2002

ASSIGNEE:

NOVASITE PHARMACEUTICALS, INC.
3520 DUNHILL STREET
SAN DIEGO, CALIFORNIA 92121

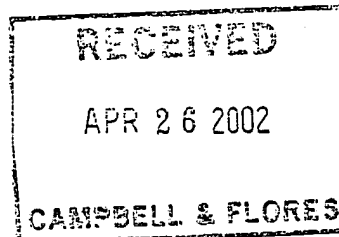
SERIAL NUMBER: 09990185

FILING DATE: 11/21/2001

PATENT NUMBER:

ISSUE DATE:

EXHIBIT E



012601/0263 PAGE 2

JEEVON JONES, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS



02-27-2002



Pat No.: P-NS 4970

U.S. DEPARTMENT OF COMMERCE
Patent and Trademark Office

Tab settings → → →

To the Honorable Commissioner of Patent

101994618

Attached original documents or copy thereof.

1. Name of conveying party(ies):

1. Krzysztof Palczewski
2. Ning Li
3. Juan Ballesteros

2-11-02

Additional names(s) of conveying party(ies)

☐ Yes ☒ No

3. Nature of conveyance:

- ☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Other _____

Execution Date: 1. on 12/21/01; 2. and 3. on 01/07/02

2. Name and address of receiving party(ies):

Name: Novasite Pharmaceuticals, Inc.

Internal Address: _____

Street Address: 3520 Dunhill Street

City: San Diego State: CA ZIP: 92121

Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application number(s) or patent numbers(s):

If this document is being filed together with a new application, the execution date of the application is: _____

A. Patent Application No.(s)

B. Patent No.(s)

09/990,185

02/21/2002 BABRAHA1 00000022 09990185

01 EC:531

40.00 DP

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Cathryn Campbell

Internal Address: CAMPBELL & FLORES LLP

Street Address: 4370 La Jolla Village Drive, 7th Floor

City: San Diego State: CA ZIP: 92122

6. Total number of applications and patents involved:

1

7. Total fee (37 CFR 3.41):\$ 40.00

☒ Enclosed - Any excess or insufficiency should be credited or debited to deposit account

☐ Authorized to be charged to deposit account

8. Deposit account number:

03-0370

(Attach duplicate copy of this page if paying by deposit account)

DO NOT USE THIS SPACE

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Melanie K. Webster, Reg. No. 45,201

Name of Person Signing

Melanie K. Webster

Signature

February 11, 2002

Date

Total number of pages including cover sheet, attachments, and document:

6

JOINT

ASSIGNMENT

This Assignment is made by Krzysztof Palczewski of Bellevue, Washington, Ning Li of San Diego, California, and Juan Ballesteros of Encinitas, California, Assignors, to Novasite Pharmaceuticals, Inc., Assignee, having a place of business at 3520 Dunhill Street, San Diego, California 92121.

WHEREAS, Assignors have invented a new and useful EXPRESSION OF POLYPEPTIDES IN ROD OUTER SEGMENT MEMBRANES for which an application for United States Letters Patent was filed on November 21, 2001, in the United States Patent and Trademark Office, bearing Serial No. 09/990,185 and identified as Attorney Docket No: P-NS 4970;

WHEREAS, Assignors believe themselves to be the original inventors of the invention disclosed and claimed in said application for Letters Patent; and

WHEREAS, the parties desire to have a recordable instrument assigning the entire right, title and interest in and to said invention, said application and any Letters Patent that may be granted for said invention in the United States and throughout the world;

NOW, THEREFORE, in accordance with the obligations to assign the invention and other good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, Assignors sell, assign, and transfer to Assignee, the entire right, title, and interest in and to said invention, said application, any applications entitled to benefit of priority to

Inventors: Palczewski et al.
Serial No.: 09/990,185
Filed: November 21, 2001
Page 2

said application under Title 35, United States Code, Sections 120, 121 or 251, which include divisionals, continuations and reissues, and any Letters Patent that may be granted on said invention or these applications in the United States and throughout the world, including the right to file foreign applications directly in the name of the Assignee and to claim for any such foreign applications any priority rights to which such applications are entitled under international conventions, treaties, or otherwise.

Assignors agree that, upon request and without further compensation, but at no expense to Assignors, they and their legal representatives and assigns will do all lawful acts, including the execution of papers and the giving of testimony, that may be necessary or desirable for obtaining, sustaining, reissuing, or enforcing Letters Patent in the United States and throughout the world for said invention, and for perfecting, recording, or maintaining the title of Assignee, its successors and assigns, to said invention, said application, and any Letters Patent granted for said invention in the United States and throughout the world.

Assignors represent and warrant that they have not granted and will not grant to others any rights inconsistent with the rights granted herein.

Assignors authorize and request that any United States or foreign Letters Patent granted for said invention, whether on said application or on any subsequently filed divisional,

Inventors: Palczewski et al.
Serial No.: 09/990,185
Filed: November 21, 2001
Page 3

continuation or reissue application, be issued to Assignee, its successors and assigns, as the assignee of the entire interest in said invention.

IN WITNESS WHEREOF, Assignors have executed this Assignment on the date(s) provided below.

Assignor: Krzysztof Palczewski

K. Palczewski Dec 21 / 2001
Signature Date

STATE OF Washington)
COUNTY OF King)

On 12/21/01, before me, _____,
personally appeared Krzysztof Palczewski,
_____ personally known to me - OR - _____ proved to me on the basis
of satisfactory evidence to be the person(s) whose name(s) is/are
subscribed to the within instrument and acknowledged to me that
he/~~she~~/~~they~~ executed the same in his/~~her~~/~~their~~ authorized
capacity(ies), and that by his/~~her~~/~~their~~ signature(s) on the
instrument the person(s), or the entity upon behalf of which the
person(s) acted, executed the instrument.

WITNESS by hand and official seal.

Meiling Wang
(Signature of Notary)

commission expires: May 29, 2003

Inventors: Palczewski et al.
Serial No.: 09/990,185
Filed: November 21, 2001
Page 4

Assignor: Ning Li

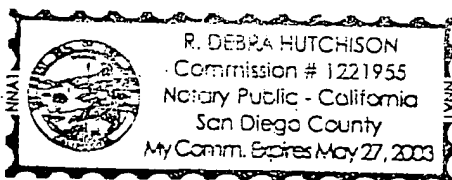
[Signature] Jan. 7, 2002
Signature Date

STATE OF California)
COUNTY OF San Diego)

On January 7, 2002, before me, R. Debra Hutchison
personally appeared Ning Li,
☒ personally known to me - OR - ☐ proved to me on the basis
of satisfactory evidence to be the person ~~(s)~~ whose name ~~(s)~~ is/~~are~~
subscribed to the within instrument; and acknowledged to me that
he/~~she~~/~~they~~ executed the same in his/~~her~~/~~their~~ authorized
capacity(~~ies~~), and that by his/~~her~~/~~their~~ signature ~~(s)~~ on the
instrument the person ~~(s)~~, or the entity upon behalf of which the
person ~~(s)~~ acted, executed the instrument.

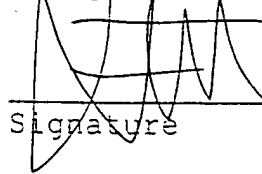
WITNESS by hand and official seal.

R. Debra Hutchison
(Signature of Notary)



Inventors: Palczewski et al.
Serial No.: 09/990,185
Filed: November 21, 2001
Page 5

Assignor: Juan Ballesteros


Signature

JAN 7, 2002
Date

STATE OF California)
COUNTY OF San Diego)

On January 7, 2002, before me, R. Debra Hutchison
personally appeared Juan Ballesteros,
✓ personally known to me - OR - proved to me on the basis
of satisfactory evidence to be the person (s) whose name (s) is/are
subscribed to the within instrument and acknowledged to me that
he/she/they executed the same in his/her/their authorized
capacity (ies), and that by his/her/their signature (s) on the
instrument the person (s), or the entity upon behalf of which the
person (s) acted, executed the instrument.

WITNESS, by hand and official seal.

R. Debra Hutchison
(Signature of Notary)

